Review of Contracts*

Information	Included	Need
ID PI/PD responsible for programmatic activity of subrecipient with roles and responsibilities		
Procedures for directing and monitoring contract		
- Activities to be performed		
- Clear and measurable objectives tied to activities above		
- What to include in status reports, when due		
- What other ways will you monitor to make sure the subrecipient is doing what they need to?		
Procedures to be followed regarding funding		
- Dollar ceiling with clear reasoning for amount		
- Method and schedule of payment (ie. monthly reimbursement)		
- Type of supporting documentation (invoice with monthly report)		
- Procedures for review and approval of grant funds (How/When will invoice be paid?)		
Different policies of the subrecipient (have to align with HHS policy) - Most cases this line does not apply		
Incorporation of public policy requirements		
- Cooperation with federal evaluation and/or its designated contractor(s)		
- Grant funds cannot be used as wages		
- Resumes of key personnel must be sent to OFA for prior approval		
- Documents created by subrecipients must contain the funding statement* and be sent to OFA for prior approval		
- Grantees must assure that subrecipients comply/sign the applicable assurances and certifications (ie. lobbying)		
Provisions for research subrecipient - Provisions regarding intangible property and copyrights 45 CFR 74.36 (for institutions of higher education, hospitals, other nonprofit organizations, and commercial organizations) or 45 CFR 92.34 (for state, local, and tribal governments)		
Other Provisions (regarding program income, publications, reporting, record retention, audits) - These provisions would need to be included in this section if not addressed earlier (see above)		

Notes:

*Please note: This is an internal document that the HPOG program office uses to review grantee contracts. It is being provided to illustrate the types of things for which we are looking and is not an official document.

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From HHS Grant Policy (Pg II-78/79)
<u>At a minimum, the subaward agreement must include the following:</u>

- Identification of the PI/PD and individuals responsible for the programmatic activity at the subrecipient organization along with their roles and responsibilities.

- Procedures for directing and monitoring the programmatic effort.

- Procedures to be followed in providing funding to the subrecipient, including dollar ceiling, method and schedule of payment, type of supporting documentation required, and procedures for review and approval of expenditures of grant funds.

- If different from those of the recipient, a determination of policies to be followed in such areas as travel reimbursement and salaries and fringe benefits (the policies of the subrecipient may be used as long as they meet HHS requirements).

- Incorporation of applicable public policy requirements and provisions indicating the intent of the subrecipient to comply, including submission of applicable assurances and certifications.
    - This is important due to Section 2005 (a) (other than paragraph (6)) of the Social Security Act (42 U.S.C. § 1397d(a)) that applies to grants awarded under this FOA to the same extent and in the same manner as the section applies to payments to States under Title XX of the Social Security Act (the Social Services Block Grant).

- For research subawards, inclusion of the following:
    - Statement specifying whether the financial conflict of interest requirements of the collaborating organization or those of the recipient apply.

    - Provision addressing ownership and disposition of data produced under the agreement.

    - Provision making the sharing of data and research tools and the inventions and patent policy applicable to the subrecipient and its employees in order to ensure that the rights of the parties to the agreement are protected and that the recipient can fulfill its responsibilities to the OPDIV. This provision must include a requirement to report inventions to the recipient and specify that the recipient has the right to request and receive data from the subrecipient on demand.

- Provisions regarding property (other than intellectual property), program income, publications, reporting, record retention, and audit necessary for the recipient to fulfill its obligations to the OPDIV.

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